

Please type a plus sign (+) inside this



PTO/SB/05 (11-00)  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE  
Approved for use through 10/31/02 OMB 0651-0032

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

Attorney Docket No. **416272061200**

First Inventor **Vicki L. CHANDLER, et al.**

Title **GENETIC FUNCTIONS REQUIRED FOR GENE SILENCING IN MAIZE**

Express Mail Label No. **EL 903 973 800 US**

for new nonprovisional applications under 37 CFR 1.53(b))

**CERTIFICATE OF MAILING BY "EXPRESS MAIL"**

**Express Mail Label No.: EL 903 973 800 US**

**Date of Deposit: October 5, 2001**

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

**EL 903973800US**

**CHASE J. TROMBELLA**

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

**ADDRESS TO:**

**Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231**

1. ☒ **Fee Transmittal Form (e.g. PTO/SB/17) - 1 pg IN DUPL**  
(Submit an original, and a duplicate for fee processing)

2. ☒ **Applicant claims small entity status.**  
See 37 CFR 1.27.

3. ☒ **Specification** [Total Pages **152**]  
(preferred arrangement set forth below)  
- Descriptive title of the invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table, or a computer program listing appendix  
- Background of the invention  
- Brief Summary of the invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure

4. ☒ **Drawing(s) (35 USC 113)** [Total Sheets **34**]

5. **Oath or Declaration** [Total Pages **12**]

- a. ☒ **Newly executed (original or copy)**  
b. ☐ **Copy from a prior application (37 CFR 1.63(d))**  
(for continuation/divisional with Box 18 completed)  
**DELETION OF INVENTOR(S)**  
☐ Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)

6. ☒ **Application Data Sheet. See 37 CFR 1.76 - 3 pgs**

7. ☐ **CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)**

8. **Nucleotide and/or Amino Acid Sequence Submission**  
(if applicable, all necessary)

- a. ☐ **Computer Readable Form (CRF)**  
b. **Specification Sequence Listing on:**  
i. ☐ **CD-ROM or CD-R (2 copies); or**  
ii. ☐ **paper**  
c. ☐ **Statements verifying identity of above copies**

**ACCOMPANYING APPLICATION PARTS**

9. ☒ **Assignment Papers (cover sheets & document(s)) - 14 pgs**

10. ☐ **37 CFR 3.73(b) Statement** ☐ **Power of Attorney**  
(where there is an assignee)

11. ☐ **English Translation document (if applicable)**

12. ☒ **Information Disclosure Statement-3 pgs** ☒ **Copies of IDS**  
**PTO-1449 - 5 pgs** Citations 61

13. ☐ **Preliminary Amendment**

14. ☒ **Return Receipt Postcard (MPEP 503)**  
Should be specifically itemized

15. ☐ **Certified Copy of Priority Document(s)**  
(if foreign priority is claimed)

16. ☐ **Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.**

17. ☐ **Other**

**18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:**

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. :

Prior application information

Examiner \*

Group / Art Unit \*

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. This incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**

☒ **Customer Number or Bar Code Label**



**20872**

PATENT TRADEMARK OFFICE

or ☐ **Correspondence address below**

Address		City		State	Zip
425 Market Street		San Francisco		CA	94105
Country		Telephone		Fax	
		415/268-6237		415/268-7522	
Name, Print Type	Michael R. Ward Ph.D.		Registration No.	38,651	
Date			October 5, 2001		

# FEE TRANSMITTAL FOR FY 2001

Patent fees are subject to annual revision.

## Complete if Known

Application Number TO BE ASSIGNED

Filing Date HEREWITH

First Named Inventor Vicki L. CHANDLER, et al.

Examiner Name To Be Assigned

Group Art Unit To Be Assigned

TOTAL AMOUNT OF PAYMENT

(\$5,876.00

Attorney Docket No. 416272061200

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 03-1952  
Deposit Account Name Morrison & Foerster LLP

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- ☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit Card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	\$370
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$370.00

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
380	-20** = 360	x 9 =	\$3,240
Independent Claims	56	-3** = 53	x 42 = \$2,226
Multiple Dependent			= \$ -0-

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claims, if not paid
109	84	209	42	**Reissue independent claims over original patent

\*\*Patent is not a continuation of an earlier filed application.

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions of the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per properties (times number of properties)	40.00
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

## SUBMITTED BY

Name (Print Type)

Michael R. Ward

Registration No. (38,651)

Telephone

(415) 268-6237

Signature

Michael R. Ward

Date

October 5, 2001

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## PATENT APPLICATION FEE DETERMINATION RECORD

Application or Docket Number

416272061200

## CLAIMS AS FILED - PART I - October 5, 2001

(Column 1)

(Column 2)

SMALL ENTITY

OR

OTHER THAN  
SMALL ENTITY

FOR	NUMBER FILED	NUMBER EXTRA	RATE	FEE		RATE	FEE
BASIC FEE (37 CFR 1.16(a))				\$ 370.00	OR		\$710.00
TOTAL CLAIMS (37 CFR 1.16(c))	340 minus 20 =	360	x\$9.00	\$3,240.00	OR	\$18.00	\$*
INDEPENDENT CLAIMS (37 CFR 1.16(b))	56 minus 3 =	53	x\$42.00	\$2,226.00	OR	\$80.00	\$*
MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(d))			+ \$140.00	\$ -0-	OR	\$270.00	\$*
			TOTAL	\$5,836.00	OR	TOTAL	\$*

\*If the different in column 1 is less than zero, enter "0" in column 2

## CLAIMS AS AMENDED - PART II

(Column 1)

(Column 2)

(Column 3)

SMALL ENTITY

OR

OTHER THAN  
SMALL ENTITY

AMENDMENT A	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE	ADDITIONAL FEE		RATE	ADDITIONAL FEE
Total (37 CFR 1.16(c))	Minus		=*	x\$9.00	\$*	OR	\$18.00	\$*
Independent (37 CFR 1.16(b))	Minus		=*	x\$40.00	\$*	OR	\$80.00	\$*
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))				+ \$135.00	\$*	OR	+ \$270.00	\$*
				TOTAL ADDIT. FEE	\$*	OR	TOTAL ADDIT. FEE	\$*

(Column 1)

(Column 2)

(Column 3)

AMENDMENT B	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE	ADDITIONAL FEE		RATE	ADDITIONAL FEE
Total (37 CFR 1.16(c))	Minus		*	x\$9.00	\$*	OR	\$18.00	\$*
Independent (37 CFR 1.16(b))	Minus		=*	x\$40.00	\$*	OR	\$80.00	\$*
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))				+ \$135.00	\$*	OR	+ \$270.00	\$*
				TOTAL ADDIT. FEE	\$*	OR	TOTAL ADDIT. FEE	\$*

(Column 1)

(Column 2)

(Column 3)

AMENDMENT C	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE	ADDITIONAL FEE		RATE	ADDITIONAL FEE
Total (37 CFR 1.16(c))	Minus		*	x\$9.00	\$*	OR	\$18.00	\$*
Independent (37 CFR 1.16(b))	Minus		*	x\$40.00	\$*	OR	\$80.00	\$*

\* If the difference in column 1 is less than zero, enter "0" in column 2.  
 \*\* If the Highest Number Previously Paid For is 1, HIGHEST NUMBER PREVIOUSLY PAID FOR is 2.  
 \*\*\* If the Highest Number Previously Paid For is 2, HIGHEST NUMBER PREVIOUSLY PAID FOR is 3.

For Highest Number Previously Paid For, enter the highest number entered in the appropriate box in Column 1.

Read the Statement of Costs and Estimate of Time and Fees to complete. Time and fees required to prepare and prosecute this application are estimated to be \$5,836.00.